

298-149

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see 37 CFR 1.5

10/019,637

INTERNATIONAL APPLICATION NO.
PCT/EP00-05953INTERNATIONAL FILING DATE
27 June 2000PRIORITY DATE CLAIMED
30 June 1999TITLE OF INVENTION METHOD AND DEVICE FOR PYROLYZING AND GASIFYING ORGANIC SUBSTANCES OR
SUBSTANCE MIXTURES

APPLICANT(S) FOR DO/EO/US Wolfgang Krumm, Gunter Funk and Stefan Hamel

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

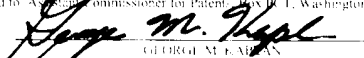
11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A FIRST preliminary amendment.
14. ☐ A SECOND or SUBSEQUENT preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney or for address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☐ Other items or information:

CERTIFICATION UNDER 37 CFR 1.110

I hereby certify that this correspondence and the documents referred to as enclosed are being deposited with the United States Postal Service on date below in an envelope as "Express Mail Post Office to Addressee" Mail Label Number: E4340277996US, addressed to: Assistant Commissioner for Patent, Box 11, Washington, D.C. 20531.

Dated,

July 3, 2000


GEORGE M. KAPLAN

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)
10/019,637

INTERNATIONAL APPLICATION NO.
PCT/EP00/05953

ATTORNEY'S DOCKET NUMBER
298-149

21. ☐ The following fees are submitted:

BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):

Neither international preliminary examination fee (37 CFR 1.482)
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO
and International Search Report not prepared by the EPO or JPO. **\$1040.00**

International preliminary examination fee (37 CFR 1.482) not paid to
USPTO but International Search Report prepared by the EPO or JPO **\$890.00**

International preliminary examination fee (37 CFR 1.482) not paid to USPTO
but international search fee (37 CFR 1.445(a)(2)) paid to USPTO **\$740.00**

International preliminary examination fee (37 CFR 1.482) paid to USPTO
but all claims did not satisfy provisions of PCT Article 33(1)-(4) **\$710.00**

International preliminary examination fee (37 CFR 1.482) paid to USPTO
and all claims satisfied provisions of PCT Article 33(1)-(4) **\$100.00**

ENTER APPROPRIATE BASIC FEE AMOUNT =

CALCULATIONS PTO USE ONLY

\$

Surcharge of **\$130.00** for furnishing the oath or declaration later than ☐ 20 ☒ 30
months from the earliest claimed priority date (37 CFR 1.492(e)).

\$ \$130.00

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$
Total claims	- 20		x \$18.00	\$
Independent claims	- 3 =		x \$84.00	\$

MULTIPLE DEPENDENT CLAIM(S) (if applicable) + **\$280.00**

\$

TOTAL OF ABOVE CALCULATIONS =

\$ \$130.00

☒ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above
are reduced by 1/2.

\$ -\$65.00

SUBTOTAL =

\$ \$65.00

Processing fee of **\$130.00** for furnishing the English translation later than ☐ 20 ☐ 30
months from the earliest claimed priority date (37 CFR 1.492(f)).

\$

TOTAL NATIONAL FEE =

\$ \$65.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). **\$40.00** per property

\$ \$40.00

TOTAL FEES ENCLOSED =

\$ \$105.00

Amount to be
refunded:

\$

charged:

\$

a. ☒ A check in the amount of \$ \$105.00 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. 04-1121 in the amount of \$ _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
overpayment to Deposit Account No. 04-1121. A duplicate copy of this sheet is enclosed.

d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card
information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR
1.137 (a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO
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SIGNATURE
GEORGE M. KAPLAN

NAME

28,375

REGISTRATION NUMBER

RECORDATION FORM COVER SHEET PATENTS ONLY

3 July 2002

Patent and Trademark Office

TO THE HONORABLE COMMISSIONER OF PATENTS AND TRADEMARKS:

Please record the attached original documents or copy thereof.

Attorney Docket No.: 298-149

1. Name of conveying party(ies):
Wolfgang Krumm, Gunter Funk and Stefan Hamel

Additional name(s) of conveying party(ies) attached?
[] yes [X] no

3. Nature of Conveyance

[X] Assignment [] Merger
[] Security Agreement [] Change of Name
[] Other _____

Execution Date: MAY 31, 2002

2. Name and address of receiving party(ies):

Name: Herhof Umwelttechnik GmbH

Street Address: Riemannstrasse 1,
D-35606 Solms-Niederbiel, Germany

Additional names and addresses attached? [] yes [X] no

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is, _____

A. Patent Application No.(s)

10/019,637

B. Patent No.(s):

Additional numbers attached? [] Yes [X] No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Rocco S. Barrese, Esq.

Internal Address: Dilworth & Barrese LLP.

Street Address: 333 Earle Ovington Boulevard

City: Uniondale State: NY ZIP: 11553

6. Total number of applications and patents involved:

[1]

7. Total fee (37 C.F.R. 3.41) \$ 40.00

[X] Enclosed

[] Authorized to be charged to deposit account

8. Deposit account number: 04-1121

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

George M. Kaplan, Esq.

Name of Person Signing
Reg. No. 28,375

Signature

3, July 2002

Date

Total number of pages including cover sheet, attachments and document [4]

OMB No. 0651-0011 (exp. 4-84)

do not detach this portion

Mail documents to be recorded with required cover sheet information to:

07/09/2002 00010000 00000000 1001963 Assistant Commissioner for Patents and Trademarks

Box Assignments

06/01/02

06/01/02

Washington, D.C. 20231

Public burden reporting for this sample cover sheet is estimated to average about 30 minutes per document to be recorded, including time for reviewing the document and gathering the data needed, and completing and reviewing the sample cover sheet. Send comments regarding this burden estimate to the U.S. Patent and Trademark Office, Office of Information Systems, PK2-1000C, Washington, D.C. 20231, and to the Office of Management and Budget, Paperwork Reduction Project (0651-0011), Washington, D.C. 20503.